

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

#6

Atty. Docket No: ALBRE 3

In re patent application of

SPECHT, THOMAS et al.

Serial No. 09/674,266

Filed: October 30, 2000

For: HUMAN NUCLEIC ACID SEQUENCES FROM PANCREAS TUMOR TISSUE

STATEMENT TO SUPPORT FILING AND SUBMISSION IN
ACCORDANCE WITH 37 C.F.R. §§ 1.821-1.825

Assistant Commissioner for Patents
Washington, D.C. 20231
Box SEQUENCE


Sir:

In connection with a Sequence Listing submitted concurrently herewith, the undersigned hereby states that:

1. the submission, filed herewith in accordance with 37 C.F.R. § 1.821(g), does not include new matter;

2. all statements made herein of their own knowledge are true and that all statements made on information and belief are believed to be true; and further, that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent resulting therefrom.

submitted,


James A. Coburn

HARBOR CONSULTING
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1500A Lafayette Road
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Portsmouth, N.H.
800-318-3021

[illegible]

IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)

International Application No. : PCT/DE99/01258
International Filing Date : 19 APRIL 1999
U.S. Serial No. : 09/674,266
Deposit Date U.S. Nat'l Phase : 30 OCTOBER 2000
Priority Date(s) Claimed : 28 APRIL 1998
Applicant(s) : SPECHT, Thomas, et al.
Title: HUMAN NUCLEIC ACID SEQUENCES OBTAINED FROM PANCREAS TUMOR
TISSUE

RESPONSE TO NOTIFICATION OF MISSING REQUIREMENTS

UNDER 35 U.S.C. § 371

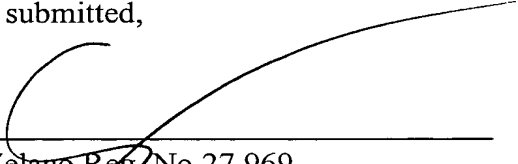
IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)

Commissioner for Patents
Box PCT
Washington, D.C. 20231
Sir:

In response to the Notification of Missing Requirements (Notification to Comply with Requirements For Sequence Disclosures) mailed 29 OCTOBER 2001 , attached is a computer readable disk, as well as a copy of the Notification.

The Patent and Trademark Office is authorized to deduct any additional fees from, or credit any overpayments to, counsel's deposit account No. 13-3402, a copy of this paper being attached.

Respectfully submitted,



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Filed: 31 DECEMBER 2001



UNITED STATES PATENT AND TRADEMARK OFFICE

Commissioner for Patents, Box PCT
United States Patent and Trademark Office
Washington, D.C. 20231
www.uspto.gov

U.S. APPLICATION NO.

FIRST NAMED APPLICANT

ATTY. DOCKET NO.

09/674266

SPECHT

T

SCH-1787

INTERNATIONAL APPLICATION NO.

PCT/DE99/01258

I.A. FILING DATE

PRIORITY DATE

19 APR 99

28 APR 98

29 OCT 2001

DATE MAILED:

MILLEN WHITE ZELANO & BRANIGAN
ARLINGTON COURT HOUSE PLAZA 1
SUITE 1400
2200 CLARENDON BOULEVARD
ARLINGTON VA 22201**NOTIFICATION TO COMPLY WITH REQUIREMENTS FOR PATENT APPLICATIONS
CONTAINING NUCLEOTIDE SEQUENCE AND/OR AMINO ACID SEQUENCE
DISCLOSURES**

Applicant has submitted papers under 35 U.S.C. 371 to enter the national stage in the United States of America. The items indicated below, however, are missing. The period within which to correct the deficiency noted below and avoid abandonment is set forth in the accompanying Notification.

The nucleotide and/or amino acid sequence disclosure contained in this application does not comply with the requirements for such a disclosure as set forth in 37 CFR 1.821-1.825 for the following reason(s):

- ☒ The application fails to comply with the requirements of 37 CFR 1.821-1.825.
- ☐ This application does not contain, a "Sequence Listing" as a separate part of the disclosure on paper copy or compact disc, as required by 37 CFR 1.821(c).
- ☐ A copy of the "Sequence Listing" in computer readable format has not been submitted as required by 37 CFR 1.821(e).
- ☐ A copy of the "Sequence Listing" in computer readable form has been submitted. The content of the computer readable form, however, does not comply with the requirements of 37 CFR 1.822 and/or 1.832, as indicated on the attached marked-up copy of the "Raw Sequence Listing."
- ☒ The computer readable form that has been filed with this application has been found to be damaged and/or unreadable as indicated on the attached CRF Diskette Problem Report. A substitute computer readable form must be submitted as required by 37 CFR 1.825(d).
- ☐ The paper copy or compact disc of the "Sequence Listing" is not the same as the computer readable form of the "Sequence Listing" as required by 37 CFR 1.821(e).
- ☐ Other: _____

APPLICANT MUST PROVIDE:

- ☒ An initial or substitute computer readable form (CRF) of the "Sequence Listing."
- ☐ An initial or substitute paper copy or compact disc of the "Sequence Listing," as well as an amendment directing its entry into the specification.
- ☒ A statement that the contents of the paper or compact disc and the computer readable form are the same and, where applicable, include no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b) or 1.825(d).

FOR QUESTIONS REGARDING COMPLIANCE WITH THESE REQUIREMENTS, PLEASE
CALL:

(703) 308-4216, for Rules interpretation,
(703) 308-4212, for CRF submission help,
(703) 287-0200, for PatentIn software help.

SHAKEEL AHMED

Telephone: 703 305 3659

CRF Problem Report



The Scientific and Technical Information Center (STIC) experienced a problem when processing the following computer readable form (CRF):

Application Serial Number: 09/674,266

Filing Date: 10/30/2000

Date Processed by STIC: 2/6/2001

STIC Contact: Mark Spencer, 703-308-4212

Nature of Problem:

The CRF (was):

☒ (circle one) Damaged or Unreadable (for Unreadable, see attached)

☐ Blank (no files on CRF) (see attached)

☐ Empty file (filename present, but no bytes in file) (see attached)

☐ Virus-infected. Virus name: _____ The STIC will not process the CRF.

☐ Not saved in ASCII text

☐ Sequence Listing was embedded in the file. According to Sequence Rules, submitted file should **only** be the Sequence Listing.

☐ Did not contain a Sequence Listing. (see attached sample)

☐ Other: _____

**PLEASE USE THE CHECKER VERSION 3.0 PROGRAM TO REDUCE ERRORS.
SEE BELOW FOR DETAILS:**

Checker Version 3.0

The Checker Version 3.0 application is a state-of-the-art Windows based software program employing a logical and intuitive user-interface to check whether a sequence listing is in compliance with format and content rules. Checker Version 3.0 works for sequence listings generated for the original version of 37 CFR §§1.821 - 1.825 effective October 1, 1990 (old rules) and the revised version (new rules) effective July 1, 1998 as well as World Intellectual Property Organization (WIPO) Standard ST.25.

Checker Version 3.0 replaces the previous DOS-based version of Checker, and is Y2K-compliant. Checker allows public users to check sequence listings in Computer Readable form (CRF) before submitting them to the United States Patent and Trademark Office (USPTO). Use of Checker prior to filing the sequence listing is expected to result in fewer errored sequence listings, thus saving time and money.

Checker Version 3.0 can be down loaded from the USPTO website at the following address:
<http://www.uspto.gov/web/offices/pac/checker>

09/674,266

A:\>DIR

Volume in drive A has no label
Volume Serial Number is 2180-1DD5
Directory of A:\

File not found

1,457,664 bytes free

A:\>

→ onscreen message
when STIC PC tried
to read submitted disk



UNITED STATES PATENT AND TRADEMARK OFFICE

OCT 31 2001

Commissioner for Patents, Box PCT
United States Patent and Trademark Office
Washington, D.C. 20231
Millen, White, Zelano & Branigan, P.C. www.uspto.gov

U.S. APPLICATION NO.	FIRST NAMED APPLICANT	ATTY. DOCKET NO.
09/674266	SPECHT	SCH-1787 ALBRE-3
PCT Missing Req. Due-12/29/01		
MILLEN WHITE ZELANO & BRANIGAN ARLINGTON COURT HOUSE PLAZA 1 SUITE 1400 2200 CLARENDON BOULEVARD ARLINGTON VA 22201		
(Sequence Listing Due)		
INTERNATIONAL APPLICATION NO. PCT/DE99/01258		
INT. FILING DATE	PRIORITY DATE	DATE MAILED
19 APR 99	28 APR 98	29 OCT 2001

NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)

1. The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as:
- ☐ a Designated Office (37 CFR 1.494) ☒ an Elected Office (37 CFR 1.495):
 - ☒ U.S. Basic National Fee.
 - ☐ Indication of Small Entity Status.
 - ☒ Copy of the international application.
 - ☒ Translation of the international application into English.
 - ☒ Oath or Declaration of inventor(s).
 - ☐ Translation of Article 19 amendments into English.
 - ☐ Copy of Article 19 amendments.
 - ☐ Other:
 - ☒ Priority Document.
 - ☐ The International Preliminary Examination Report in English and its Annexes, if any.
 - ☐ Translation of Annexes to the International Preliminary Examination Report into English.

2. Applicant has requested early processing under 35 U.S.C. 371(f) but has not filed the following indicated items and/or the indicated items in paragraph 3 below. The Basic National Fee and the copy of the international application must be filed prior to 20 or 30 months from the priority date to avoid abandonment.

- ☐ U.S. Basic National Fee.
- ☐ Copy of the international application.

3. The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

- ☐ a. Translation of the application into English. A processing fee will be required if submitted later than the appropriate 20 or 30 months from the priority date.
- ☐ The current translation is defective for the reasons indicated on the attached Notice of Defective Translation.
- ☐ b. Processing fee for providing the translation of the application and/or the Annexes later than the appropriate 20 or 30 months from the priority date (37 CFR 1.492(f)).
- ☐ c. Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), properly identifying the application (preferably by the International application number and international filing date). A surcharge will be required if submitted later than the appropriate 20 or 30 months from the priority date.
- ☐ The current oath or declaration does not comply with 37 CFR 1.497(a) and (b) for the reasons indicated on the attached PCT/DO/EO/917.
- ☐ d. Surcharge for providing the oath or declaration later than the appropriate 20 or 30 months from the priority date (37 CFR 1.492(e)).

4. Additional claim fees of \$_____ as a ☐ large entity ☐ small entity, including any required multiple dependent claim fee, are required. Applicant must submit the additional claim fees or cancel the additional claims for which fees are due (37 CFR 1.492(g)). See attached PTO-875.

5. ☒ Applicant has not submitted the required sequence listing pursuant to 37 CFR 1.821-1.825. See attached PCT/DO/EO/920.

ALL OF THE ITEMS SET FORTH IN 3(a)-3(d), 4 AND 5 ABOVE MUST BE SUBMITTED WITHIN TWO (2) MONTHS FROM THE DATE OF THIS NOTICE OR BY 22 OR 32 MONTHS (where 37 CFR 1.495 applies) FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

6. If box 3a or 3c is checked, a translation of the Annexes **MUST** be submitted no later than the time period set above or the Annexes will be cancelled. A processing fee will be required if submitted later than 20 or 30 months from the priority date.
7. The Article 19 amendments are cancelled since a translation was not provided by the appropriate 20 (37 CFR 1.494(d)) or 30 (37 CFR 1.495(d)) months from the priority date.

Applicant is reminded that any communication to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above. (37 CFR 1.5)

A copy of this notice MUST be returned with this response.

Enclosed: ☐ PCT/DO/EO/917 ☐ Notice of Defective Translation
☐ PTO-875 ☒ PCT/DO/EO/920

SHAKEEL AHMED

FORM PCT/DO/EO/905 (March 2001)

Telephone: 703 305 3659

NEW HILDAID